

Addendum to search 10/779486 [312795] due to forgotten "OR"
 Only full text NPL was searched, 4 additional items were found.

File 9:Business & Industry(R) Jul/1994-2009/Nov 11
 (c) 2009 Gale/Cengage
 File 15:ABI/Inform(R) 1971-2009/Nov 11
 (c) 2009 ProQuest Info&Learning
 File 16:Gale Group PROMT(R) 1990-2009/Oct 19
 (c) 2009 Gale/Cengage
 File 20:Dialog Global Reporter 1997-2009/Nov 12
 (c) 2009 Dialog
 File 148:Gale Group Trade & Industry DB 1976-2009/Oct 23
 (c) 2009 Gale/Cengage
 File 160:Gale Group PROMT(R) 1972-1989
 (c) 1999 The Gale Group
 File 267:Finance & Banking Newsletters 2008/Sep 29
 (c) 2008 Dialog
 File 268:Banking Info Source 1981-2009/Nov W1
 (c) 2009 ProQuest Info&Learning
 File 275:Gale Group Computer DB(TM) 1983-2009/Oct 13
 (c) 2009 Gale/Cengage
 File 610:Business Wire 1999-2009/Nov 12
 (c) 2009 Business Wire.
 File 613:PR Newswire 1999-2009/Nov 12
 (c) 2009 PR Newswire Association Inc
 File 621:Gale Group New Prod.Annou.(R) 1985-2009/Oct 05
 (c) 2009 Gale/Cengage
 File 624:McGraw-Hill Publications 1985-2009/Nov 11
 (c) 2009 McGraw-Hill Co. Inc
 File 625:American Banker Publications 1981-2008/Jun 26
 (c) 2008 American Banker
 File 626:Bond Buyer Full Text 1981-2008/Jul 07
 (c) 2008 Bond Buyer
 File 634:San Jose Mercury Jun 1985-2009/Oct 28
 (c) 2009 San Jose Mercury News
 File 636:Gale Group Newsletter DB(TM) 1987-2009/Oct 19
 (c) 2009 Gale/Cengage
 File 810:Business Wire 1986-1999/Feb 28
 (c) 1999 Business Wire
 File 813:PR Newswire 1987-1999/Apr 30
 (c) 1999 PR Newswire Association Inc

| Set | Items | Description |
|-----|---------|---|
| S1 | 2746679 | (SECURITY OR SECURITIES OR STOCK OR STOCKS OR FINANCIAL() (-INSTRUMENT OR INSTRUMENTS) OR COMMODITY OR COMMODITIES OR FUTURE OR FUTURES OR EQUITY OR EQUITIES) (2N) (BROKER OR BROKERS OR TRADER OR TRADERS OR MARKET() (PARTICIPANT OR PARTICIPANTS)) |
| S2 | 1014993 | S1 NOT PY>2004 |
| S3 | 419 | ((STEP OR STEPS STEPPED)()) (IN OR INS OR OUT OR OUTS) OR SOFT() (DOLLAR OR DOLLARS)) (2N) (COMMISSION OR COMMISSIONS OR PAY OR PAYMENT OR PAYMENTS OR COMPENSATION OR AMOUNT OR AMOUNTS OR ROYALTY OR ROYALTIES) |
| S4 | 446 | ((STEP OR STEPS OR STEPPED)()) (IN OR INS OR OUT OR OUTS) OR SOFT() (DOLLAR OR DOLLARS)) (2N) (COMMISSION OR COMMISSIONS OR PAY OR PAYMENT OR PAYMENTS OR COMPENSATION OR AMOUNT OR AMOUNTS OR ROYALTY OR ROYALTIES) |
| S5 | 27 | S4 NOT S3 |
| S6 | 55143 | (NON OR "NOT" OR WITHOUT OR WITH()) OUT OR INTERCEPT? OR PREVENT? OR REMOVE? OR RESTRICT? OR SUPPRESS? OR HIDE OR HIDES OR HIDING OR HIDDEN OR CONCEAL? OR SECRET? (5N) (INFORMATION OR DATA OR IDENTITY OR IDENTIF? OR NAME? ?) OR ANONYM? OR UNIDENT- |

S7 IF? OR UNNAMED
4 S5(3S)S6

7/3,K/1 (Item 1 from file: 9)
DIALOG(R)File 9:Business & Industry(R)
(c) 2009 Gale/Cengage. All rts. reserv.

02123919 Supplier Number: 25661225 (USE FORMAT 7 OR 9 FOR FULLTEXT)
Firms Agree to Landmark Yield-Burning Pact
(Firms involved in a recent yield burning settlement are ranked by amount
paid; the 17 firms will pay a total \$138.3+ mil)
The Bond Buyer, v 332, n 30866, p 1+
April 07, 2000
DOCUMENT TYPE: Newspaper; Ranking ISSN: 0732-0469 (United States)
LANGUAGE: English RECORD TYPE: Fulltext
WORD COUNT: 1506

(USE FORMAT 7 OR 9 FOR FULLTEXT)

TEXT:
...at almost \$171 million.

Richard Walker, the commission's enforcement director, said yesterday's agreement was "among the most important steps in the commission's crusade to clean up public finance" and "will close the book on yield burning" as far as the SEC is concerned. However, sources said some firms named in a secret whistleblower suit have not yet settled, and three civil suits seeking class-action status are still pending against the dealers...

7/3,K/2 (Item 1 from file: 15)
DIALOG(R)File 15:ABI/Inform(R)
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05856537 142260721
Can Adams, Harkness Ride a Winner? Another bronco buster is mounting that wild horse called tech and health care investing.
Chapman, Peter
Traders Magazine PP: 38 Jul 1, 2002
ISSN: 0894-7295 JRNL CODE: TRMG
WORD COUNT: 2244

...TEXT: that's so. "We don't have a problem trading orders away from them," said an institutional trader who did not want his name mentioned. "A lot of institutions will step out and trade away. But with them, no."

In fact, Ranieri said, outgoing...

...to other brokers, are up since Nasdaq switched to fee-based trading. "We don't mind if some of that [commission] is stepped out and we lose some of that money," he said. "Because we're working a large order which is helping us..."

7/3,K/3 (Item 1 from file: 16)
DIALOG(R)File 16:Gale Group PROMT(R)
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09952430 Supplier Number: 89804659 (USE FORMAT 7 FOR FULLTEXT)
Can Adams, Harkness Ride a Winner? Another bronco buster is mounting that
wild horse called tech and health care investing.(Brief Article)
Chapman, Peter
Traders, pITEM02210017
July 1, 2002
Language: English Record Type: Fulltext
Article Type: Brief Article
Document Type: Magazine/Journal; Trade
Word Count: 2381

... that's so. "We don't have a problem trading orders away from them,"
said an institutional trader who did not want his name
mentioned. "A lot of institutions will step out and trade away. But with
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and we lose some of that money," he said. "Because we're working a large
order which is helping us..."

7/3,K/4 (Item 1 from file: 267)
DIALOG(R)File 267:Finance & Banking Newsletters
(c) 2008 Dialog. All rts. reserv.

04592072

Can Adams, Harkness Ride a Winner? Another bronco buster is mounting that
wild horse called tech and health care investing.

Peter Chapman

Traders

July 1,2002

DOCUMENT TYPE: NEWSLETTER

PUBLISHER: SECURITIES DATA PUBLISHING

LANGUAGE: ENGLISH

WORD COUNT: 2263

RECORD TYPE: FULLTEXT

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TEXT:

...lousy market, say execs. As a private partnership, Adams, Harkness does
not release financial statements, but Nasdaq and IPO volume data from
Thomson Financial does not paint a rosy picture. The total value of
stocks underwritten by Adams, Harkness crashed last year to \$636 million
from...sales trader makes the call though, says Mazzarella. "God forbid
that trade ever goes up and that buyside trader did not relay the
information to that portfolio manager," Mazzarella said.

Ranieri says the firm does not track the number of crosses it does, but
...What's of more value is finding someone who really wants to own 500,000
shares."

Tesoro spells it out: "Information drives the business, not
capital."

Bigger Shops

Regardless, many institutions will often take research from the
boutiques, but dole out their executions to the...

...that's so. "We don't have a problem trading orders away from them," said
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